



# DOT OIG Strategic Plan

September 2009

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## OIG Mission

The Office of Inspector General is committed to fulfilling its statutory responsibilities and supporting members of Congress, the Secretary, senior Department officials, and the public in achieving a safe, efficient, and effective transportation system.

## Statutory Responsibilities

The Inspector General Act of 1978, as amended, requires the OIG to

- conduct independent and objective audits and investigations;
- promote economy, efficiency, and effectiveness;
- prevent and detect waste, fraud, and abuse;
- review pending legislation and regulations; and
- keep the Secretary and Congress fully and currently informed.

## OIG Vision

The Office of Inspector General will build on its long-standing record as a highly respected contributor to the Department's mission. Our unique role as the Department's sole in-house source for objective examination of its programs and their integrity, along with our core values and audit and investigative expertise, will ensure we remain highly responsive to the needs of the Secretary, Congress, and the American people. We will be proactive in selecting our work and versatile in integrating our capabilities. In a complex and evolving transportation environment, we will excel in identifying opportunities for improvements in operations and programs and in relentlessly protecting programs from fraud, waste, abuse, and violations of law.



## OIG Core Values

- **Integrity** – We set high standards for ourselves. We take a professional, fact-based, fair, nonpartisan, and nonideological approach to all our work.
- **Objectivity** – We conduct our work independently by maintaining an attitude of impartiality, having intellectual honesty, and being free of conflicts of interest.
- **Accuracy** – We ensure that our work is fact-based and supported by sufficient, appropriate evidence.
- **Relevance** – We select work on issues that are significant to Congress and the public and ensure the work is completed in a timely manner.

## Goals and Strategies

***Improve the efficiency and effectiveness of DOT programs for enhancing safety, reducing congestion, and increasing mobility.***

- Conduct audits and evaluations, with particular focus on
  - aviation safety and operations and Next Generation Air Transportation System challenges;
  - stewardship of Federal investment in building, repairing, and maintaining surface infrastructure;
  - improvements in infrastructure oversight processes through comprehensive risk and data analyses;
  - surface safety programs and countermeasures at the Federal, State, and local levels; and
  - vulnerabilities and impediments to DOT's ability to accomplish its goals.
- Conduct criminal, civil, and administrative investigations, foremost those involving risks to public safety, including
  - counterfeit and otherwise unapproved aircraft parts;
  - motor carrier safety violations, such as corruptly obtained commercial driver's licenses, falsified drug testing results, and falsified driver hours-of-service/vehicle maintenance records; and
  - hazardous materials violations, such as concealed shipments of explosives and chemicals via air, land, and water.



- Refer investigative results to the Department of Justice for prosecution, as appropriate.
- Leverage knowledge by consulting with stakeholders, transportation association representatives, and experts.
- Communicate results in a timely manner through reports, briefings, testimonies, and other products.

***Assess the adequacy and effectiveness of transportation infrastructure funding mechanisms.***

- Conduct analyses of the ongoing health of the aviation and highway trust funds.
- Conduct audits, evaluations, and analyses of innovative or alternative financing for DOT programs and their implementation.
- Communicate results in a timely manner through reports, briefings, testimonies, and other products.

***Strengthen DOT's information technology, financial infrastructures, and contract operations to support program missions and maximize the Government's return on investment.***

- Conduct statutorily-required, Department-wide audits of financial issues, cyber security, and acquisition and contract management programs.
- Oversee Single Audits of DOT grant recipients nationwide.
- Conduct audits and evaluations of information technology, financial management, and procurement/contract management in the Department.
- Conduct proactive and reactive contract/grant fraud investigations involving DOT-funded programs, to include investigation of collusive bidding and price-fixing, false claims for labor and materials, and bribery of public officials.



- Refer investigative results to the Department of Justice for prosecution, as appropriate.
- Work with the Council of Inspectors General on Integrity and Efficiency (CIGIE) community, the Office of Management and Budget (OMB), and the Government Accountability Office (GAO) to improve cross-cutting government-wide operations in these areas.
- Communicate results in a timely manner through reports, briefings, testimonies, and other products.

***Provide timely oversight of American Recovery and Reinvestment Act (ARRA) funds to prevent fraud, waste, abuse, and mismanagement of existing and new programs.***

- Conduct risk-based audits and evaluations of DOT Operating Administrations' oversight of ARRA-funded projects and grant recipients.
- Conduct proactive and reactive contract/grant fraud investigations involving ARRA-funded programs and projects, to include investigation of collusive bidding and price-fixing, false claims for labor and materials, and bribery of public officials.
- Carry out investigation of ARRA-related whistleblower reprisal claims by employees of state/local transportation agencies and contractors.
- Review DOT's implementation of ARRA programs, including new tracking and reporting requirements.
- Promote efforts with DOT and state/local stakeholders to combat fraud, waste, and abuse.
- Coordinate efforts with others in the accountability community, such as the Recovery Accountability and Transparency Board, CIGIE, GAO, and OMB.
- Maximize and effectively track the OIG's ARRA funds to ensure accountability and transparency.
- Communicate results in a timely manner through reports, briefings, testimonies, and ARRA advisories.



***Promote organizational and workforce excellence.***

- Hire, develop, and retain a highly skilled, diverse workforce.
- Foster respectful and open communication across the OIG.
- Enhance our business processes and leadership practices to improve operations and deliver quality products and services.
- Identify emerging issues that impact major transportation lines of effort to improve our strategic and tactical planning and operations.

## Performance Measures

To assess its performance, OIG gathers and analyzes data on the following:

- Recommendations—number issued, agreed to by management, monetary amounts (Funds Put to Better Use, Questioned Costs, Unsupported Costs)
- Reports
- Advisories
- Testimonies
- Briefings/Presentations/Speeches
- Correspondence
- Audits initiated/completed
- Annual non-retirement staff attrition
- OIG employee survey results in key areas such as communication, business processes, and leadership
- Requests and time frames needed to respond to public inquiries for information about OIG activities
- Time frames required to communicate results to stakeholders through reports, briefings, testimonies, and ARRA advisories